

10. PreAward Surveys—Formal

10.1 Summary

Sometimes Buying Activities do not have enough information available to determine whether or not a contractor, or potential contractor, is responsible. When this happens, the Buying Activity requests a Formal PreAward Survey to gather the information needed to complete the responsibility determination. The Formal PreAward Surveys function has five (5) screens for information about the survey request, the team assigned to conduct the survey and the team members' recommendations.

When you select PreAward Surveys—Formal from the Menu screen or another Metrics function screen, and screen 1 opens, you can either select Open or New (Section 6). The procedures for using these options in the Formal PreAward Surveys function are discussed below.

Open



If you want to find an existing record to view or edit, select Open. (Click on Open in the drop-down list of File options or click on the Open icon.) When you select Open, the PreAward Surveys Search Window shown in Figure 10.1 pops up on your monitor. To open a record, select the circle in front of the type of information you want to search for, and then click on **OK**. You can search for a particular CAGE Code, Contractor Name or Date Requested. You can also search for a particular CAGE Code *and* Date Requested *OR* for a particular Contractor Name *and* Date Requested.

Formal Preaward Search

Search By:

☐ CAGE Code

OR

☐ Contractor Name

☐ Date of Request

From:

To:

Figure 10.1 Formal PreAward Surveys Search Pop-Up Window

When you click **OK**, the application searches for records that meet your search criteria with three possible results.

- If only one record matches your search criteria, it will automatically be displayed on the screen.

- If more than one record matches your search criteria, a Search Results window will pop up on your monitor. When this window appears, find the record you want, select it, and then click on click on OK to open it.

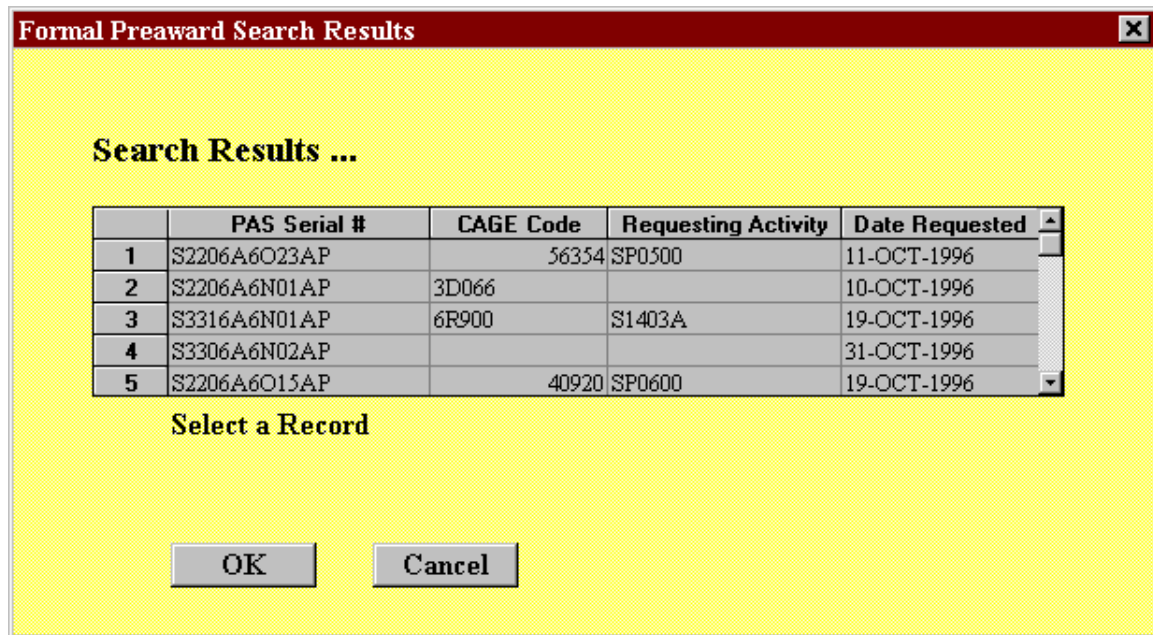


Figure 10.2 Formal PreAward Survey Search Results Window

- If no matching record is found, a message window (Figure 10.3) will pop up on your monitor to inform you that “No data met your search criteria.” Click on OK to make this window disappear.



Figure 10.3 No Data...Pop Up Message

New



If you want to add a new record, select New. (Click on New in the drop-down list of File options or click on the New icon.) When you do, the cursor appears in the CAGE Code box ready for you to type in your information.

10.2 Formal PreAward Surveys Screen 1

Screen 1 (Figure 10.4) is for information about the contractor, the contract and the request for the Formal PreAward Survey.

PreAward Surveys (Screen 1 of 5)

File Edit Functions Administration Help

CAGE Code 10.2.1.1

CAD Organization Code 10.2.1.3

Offeror 10.2.1.2

10.2.1.4

☐ Prime ☐ Secondary ☐ General Purpose

Preaward Survey Number 10.2.1.5

10.2.1.6 **Type Survey** ☐ Fast Form ☐ On-Site ☐ Desk

10.2.1.7 **Bid Package Received** ☐ Yes ☐ No

10.2.1.8 **Debarred** ☐ Yes ☐ No

Solicitation Number 10.2.1.9

Dollar Value 10.2.1.10

Requesting Activity 10.2.1.11

Date Received 10.2.1.12

Requesting Activity Name 10.2.1.13

Business Size 10.2.1.14

Date of Request 10.2.1.15

Required Return Date 10.2.1.16

Item / Service 10.2.1.17

Figure 10.4 Formal PreAward Surveys Screen 1

Note: Numbers in data boxes indicate corresponding section numbers.

10.2.1 Fields for Formal PreAward Surveys Screen 1

10.2.1.1 CAGE Code

Enter the 5-character Commercial and Government Entity (CAGE) Code which identifies the contractor/location. This is an optional data element, but if entered, it will be validated. If valid, the corresponding Offeror information will be displayed in the Offeror data boxes. *Notes: Because the CAGE Code is optional, you can leave the box blank and move on to the next data box by pressing Tab or Enter. You can add this CAGE Code at a later date.*

10.2.1.2 Offeror

This section (contractor name, division address, city, state and zip) is automatically populated based on the CAGE Code (10.2.1.1). The data boxes in this area are protected.

10.2.1.3 CAO Organization Code

This protected data box is automatically populated based on the Username entered during the log-in process.

10.2.1.4 Kind of Survey

Select the appropriate circle to indicate whether the survey is Prime, Secondary or General Purpose. If you select Prime or General Purpose, the PreAward Survey Number (10.2.1.5) is automatically populated. If you select Secondary, the cursor moves to the (unpopulated) PreAward Survey Number data box. This is a required data element.

10.2.1.5 PreAward Survey Number

Enter the 12-character alpha/numeric identifier if you selected Secondary (10.2.1.4); otherwise, the system generates this value. The first six positions (alpha/numeric) consist of the organization's DoD Activity Address Code. The seventh position is numeric, the last digit in the fiscal year. The eighth position is the month represented as a number (1=January, 2=February, 3=March, 4=April, 5=May, 6=June, 7=July, 8=August and 9=September) or alphabet letter (O=October, N=November and D=December). The ninth and tenth positions are for the serial number which is a two-position number (sequential) followed by the eleventh position, which is an alphabet letter where A signifies a prime or general purpose survey, and B through Z consecutively signifies a secondary survey. The twelfth position is either a P for prime survey or S for secondary survey. This is a required data element. *Notes: The number appears in Block 1, Serial Number, of Standard Form 1403, PreAward Survey of Prospective Contractor (General). A twelfth character (alpha) will be added by the system to the end of this number based on the recommendation entered on screen 2. (See Section 10.3.1.8)*

10.2.1.6 Type Survey

Select the circle in front of the type of survey being conducted (Fast Form, On-Site or Desk). This is a required data element.

10.2.1.7 Bid Package Received

Select the circle in front of Yes or the circle in front of No to indicate whether or not a bid package was received. This is a required data element.

10.2.1.8 Debarred

Indicate whether or not the contractor is debarred from the government by selecting either the circle in front of Yes or the circle in front of No. This item is automatically set to "No" unless you select "Yes." *Note: If the contractor is debarred, you should not perform a survey unless PCO requests completion.*

10.2.1.9 Solicitation Number

Enter the unique identifier assigned to a solicitation (up to 17 alphanumeric characters).

10.2.1.10 Dollar Value

Enter the value (dollar amount) of the request or solicitation. You can enter up to fourteen (14) digits, either as a whole dollar amount or as dollars and cents.

10.2.1.11 Requesting Activity

Enter the 6-character (alphanumeric) DoDAAC which identifies the requesting activity. This is an optional data element, but if entered, it will be validated.

10.2.1.12 Date Received

Enter the date (MMDDYY format) on which the CAO received the Buying Activity's request for a PreAward survey. The Date Received must be the current date or earlier (Date Received \leq System Date). For Prime Surveys (10.2.1.4), the Date Received must be within the current month. This is a required data element.

10.2.1.13 Requesting Activity Name

This protected data box is automatically populated based on the DoDAAC identifier entered in the Requesting Activity data box (Section 10.2.1.11).

10.2.1.14 Business Size

This protected data box is automatically populated based on the CAGE code previously entered (Section 10.2.1.1).

10.2.1.15 Date of Request

Enter the date (MMDDYY format) on which the Buying Activity completed the PreAward Survey request form. The date appears in Block 9, Date of This Request, of Standard Form 1403, PreAward Survey of Prospective Contractor (General). The Date of Request must be the same as the Date Received (10.2.1.12) or earlier. (Date Requested \leq Date Received). This is a required data element.

10.2.1.16 Required Return Date

Enter the date (MMDDYY format) by which the PreAward Survey is to be returned. The date appears in Block 10, Date Report Required, of Standard Form 1403. The Required Return Date must be later than the Date of Request (10.2.1.15). (Required Return Date $>$ Date of Request) This is a required data element.

10.2.1.17 Item/Service

Enter a short descriptor (up to 35 alphanumeric characters) for the item or service.

10.3 Formal PreAward Surveys Screen 2

Screen 2 (Figure 10.5) is for information related to late reports, reimbursables, whether or not there are any secondaries involved, the recommendation and whether or not the Procuring Contracting Officer (PCO) participated in the survey.

PreAward Surveys (Screen 2 of 5)

File Edit Functions Administration Help

CAGE Code 10.3.1.1 Offeror 10.3.1.2

CAO Organization Code 10.3.1.3

Preaward Survey Number 10.3.1.4

Reasons for Late Report 10.3.1.

Date Customer Notified 10.3.1.6 PAS Manager Signature Date 10.3.1.7

Recommendation 10.3.1.8
☐ Complete Award ☐ No Award ☐ Partial Award ☐ None Required

10.3.1.9 Reimbursable ☐ Yes ☐ No Reimbursable Number 10.3.1.10

Hours Reported 10.3.1.11 Cancel Date 10.3.1.12

10.3.1.13 Secondaries ☐ Yes ☐ No

10.3.1.14 Reimbursable Number 10.3.1.10

PCO Participation ☐ Yes ☐ No

10.3.1.15 Remarks

Figure 10.5 Formal PreAward Surveys Screen 2

Note: Numbers in data boxes indicate corresponding section numbers.

10.3.1 Fields for Formal PreAward Surveys Screen 2

10.3.1.1 CAGE Code

This protected data box is automatically populated with information carried forward from the previous screen.

10.3.1.2 Offeror

This protected data box is automatically populated with information carried forward from the previous screen.

10.3.1.3 CAO Organization Code

This protected data box is automatically populated with information carried forward from the previous screen.

10.3.1.4 PreAward Survey Number

This protected data box is automatically populated with information carried forward from the previous screen.

10.3.1.5 Reasons for Late Report

Select the reason the report is late from the drop-down list. The choices are Technical, Production, Quality Assurance, Financial, DCAA/Accounting System, Government Property, Transportation, Packaging, DIS/Security, Plant Safety, Environmental/Energy Considerations, Secondary Survey, Incomplete Package from Customer, Customer Participation, Offeror/Bidder Delay, Incomplete Data from Offeror/Bidder, TDY Impact, Major Rewrite Required, Multiple Reasons, Other, or None. The default choice is None.

10.3.1.6 Date Customer Notified

Enter the date (MMDDYY format) on which the customer was informed that the PreAward Survey was completed. This date must be the same as or earlier than the current date. (Date Customer Notified \leq System Date)

10.3.1.7 PAS Manager Signature Date

Enter the date (MMDDYY format) on which the PreAward Survey manager signed the PreAward Survey. This date must be the same as or earlier than the current date. (PAS Manager Signature Date \leq System Date)

10.3.1.8 Recommendation

Indicate the recommendation made regarding the PreAward Survey (Complete Award, No Award, Partial Award or None Required) by selecting the appropriate circle.

10.3.1.9 Reimbursable

Select the circle in front of Yes if the PreAward Survey is reimbursable; otherwise the circle in front of No is automatically selected. The default value is No.

10.3.1.10 Reimbursable Number

Enter the unique identifier assigned to the reimbursable PreAward Survey (up to 15 alphanumeric characters). This is a required data element if you selected Yes under Reimbursable (10.3.1.9).

10.3.1.11 Hours Reported

Enter the number of hours (up to 3 digits) reported against the reimbursable PAS. This is a required data element if you selected Yes for Reimbursable (10.3.1.9).

10.3.1.12 Cancel Date

Enter the date (MMDDYY format) on which a preaward survey (request) was cancelled. This date must be the same as or earlier than the current date. (Cancel Date \leq System Date)

10.3.1.13 Secondaries

Select the circle in front of Yes if there are any subcontracts (secondaries) associated with the PreAward Survey; otherwise, the circle in front of No is automatically selected. (The default value is No.)

10.3.1.14 PCO Participation

Select the circle in front of Yes if the PCO participated in the PreAward Survey; otherwise, the circle in front of No is automatically selected. (The default value is No.)

10.3.1.15 Remarks

Type in any additional pertinent information (up to 250 characters) concerning the PreAward Survey. *Note: The system will not automatically alert you when you exceed 250 characters. If you exceed 250 characters, a pop-up message will inform you that you can only have 250 characters to save the record successfully. Delete excess verbiage.*

10.4 Formal PreAward Surveys Screen 3

Screen 3 (Figure 10.6) is for information about the Formal PreAward Survey team lead.

PreAward Surveys (Screen 3 of 5)

File Edit Functions Administration Help

CAGE Code 10.4.1.1 Offeror 10.4.1.

CAO Organization Code 10.4.1.3

Preaward Survey Number 10.4.1.

Team Lead Code 10.4.1.5

Team Lead Name 10.4.1.6

Team Lead Phone 10.4.1.7

Team Lead Functional Area 10.4.1.8

Figure 10.6 Formal PreAward Surveys Screen 3

Note: Numbers in data boxes indicate corresponding section numbers.

10.4.1 Fields for Formal PreAward Surveys Screen 3

10.4.1.1 CAGE Code

This protected data box is automatically populated with information carried forward from the previous screen.

10.4.1.2 Offeror

This protected data box is automatically populated with information carried forward from the previous screen.

10.4.1.3 CAO Organization Code

This protected data box is automatically populated with information carried forward from the previous screen.

10.4.1.4 PreAward Survey Number

This protected data box is automatically populated with information carried forward from the previous screen.

10.4.1.5 Team Lead Code

Enter the 7-character (alphanumeric) User ID of the person in charge of conducting the PreAward Survey.

10.4.1.6 Team Lead Name

This protected data box is automatically populated based on the Team Lead Code (10.4.1.5).

10.4.1.7 Team Lead Phone

This protected data box is automatically populated based on the Team Lead Code. (10.4.1.5).

10.4.1.8 Team Lead Functional Area

Select the Functional Area of the Team Lead from the drop-down list. The choices are Technical, Production, Quality, Finance, Accounting, Property, Transportation, Packaging, Security, Plant Safety, Environmental Engineering, Flight Safety and Other.

10.5 Formal PreAward Surveys Screen 4

Screen 4 (Figure 10.7) is for information about the Formal PreAward Survey's team members, their response time and their recommendation.

Functional Area	ID	Person Assigned	Date Due	Date Completed	Recommendation
<input type="radio"/> Technical	10.5.1.2	10.5.1.3	10.5.1.4	10.5.1.5	10.5.1.6
<input type="radio"/> Production					
<input type="radio"/> Quality					
<input type="radio"/> Finance					
<input type="radio"/> Accounting					
<input type="radio"/> Property					
<input type="radio"/> Transportation					
<input type="radio"/> Packaging					
<input type="radio"/> Security					
<input type="radio"/> Plant Safety					
<input type="radio"/> Env Engr					
<input type="radio"/> Flt Ops / Saf					
<input type="radio"/> Other					

Figure 10.7 Formal PreAward Surveys Screen 4

Note: Numbers in data boxes indicate corresponding section numbers.

10.5.1 Fields for Formal PreAward Surveys Screen 4

For screen 4, select the circle in front of each Functional Area assigned to participate in the PreAward Survey process. For each selected circle, enter the requested information.

If you click on a circle that is already selected (deselect it), it signals the computer to delete all information entered on screen 4 for that particular Functional Area. To confirm the deletion, a window (Figure 10.8) will pop up on your monitor asking you if you are sure you want to delete the Functional Area (and its related information). Click **Yes** if you want to delete it, on **No** if you do not want to delete it?

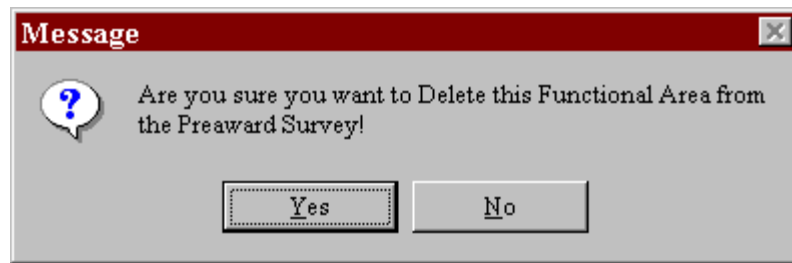


Figure 10.8 Functional Area Deletion Pop-Up Window

10.5.1.1 Functional Area

Select the circle in front of each Functional Area assigned to participate in the PreAward.

10.5.1.2 ID

Enter the 7-character (alphanumeric) code which identifies the person responsible for conducting the PreAward Survey for each specified Functional Area. *Note: ID is required for Functional Area to remain active.*

10.5.1.3 Person Assigned

This protected data box is automatically populated based on the ID (10.5.1.2).

10.5.1.4 Date Due

Enter the date (MMDDYY format) on which the survey is due to be completed for each specified Functional Area. This date must be the same as or later than the Date Received (10.2.1.12). (Date Due \geq Date Received)

10.5.1.5 Date Completed

Enter the date (MMDDYY format) on which the survey was completed (returned) by each specified Functional Area. This date must be the same as or later than the Date Received (10.2.1.12). (Date Completed \geq Date Received)

10.5.1.6 Recommendation

Select the recommendation made by each specified Functional Area from this drop-down list. The choices are Satisfactory, Unsatisfactory or None. This becomes a required data element for a functional area after you enter that area's Date Completed (10.5.1.5).

10.6 Formal PreAward Surveys Screen 5

Screen 5 (Figure 10.9) is for information about any secondaries associated with the proposed contract.

PreAward Surveys (Screen 5 of 5)

File Edit Functions Administration Help

CAGE Code 10.6.1.1 Offeror 10.6.1.2

CAO Organization Code 10.6.1.3

Preaward Survey Number 10.6.1.4

SECONDARIES

CAGE Code 10.6.1.5 Serial # 10.6.1.6

Company Name 10.6.1.7

Previous Secondary

Next Secondary

Delete Secondary

Previous & Next Arrows

Secondary CAD 10.6.1.8 CAD Name 10.6.1.9

Date Due 10.6.1.10

Date Returned 10.6.1.10

Recommendation ☐ Complete Award ☐ No Award ☐ Partial Award

10.6.1.11

Figure 10.9 Formal PreAward Surveys Screen 5

Note: Numbers in data boxes indicate corresponding section numbers.

10.6.1 Fields for Formal PreAward Surveys Screen 5

10.6.1.1 CAGE Code

This protected data box is automatically populated with information carried forward from a previous screen.

10.6.1.2 Offeror

This protected data box is automatically populated with information carried forward from a previous screen.

10.6.1.3 CAO Organization Code

This protected data box is automatically populated with information carried forward from a previous screen.

10.6.1.4 PreAward Survey Number

This protected data box is automatically populated with information carried forward from a previous screen.

Secondaries

Enter the following information for each secondary (subcontractor). Use the previous/next arrows (Figure 10.9) to enter information if there is more than one secondary (subcontractor). If you want to delete a secondary and its related information, use the previous and next arrows to display it, and then click on **Delete Secondary**.

10.6.1.5 CAGE Code

Enter the 5-character (alphanumeric) Commercial and Government Entity (CAGE) code which identifies a secondary contractor/location. Entry is optional.

10.6.1.6 Serial

This protected data box is automatically populated with the secondary PAS serial number which is based on the prime serial number.

10.6.1.7 Company Name

The protected data boxes in this block are automatically populated based on the CAGE Code entered above (Section 10.6.1.5).

10.6.1.8 Secondary CAO

Enter the 2 or 3-character (alphanumeric) Organization Code of the secondary Contract Administration Office (CAO).

10.6.1.9 CAO Name

This protected data box is automatically populated based on the Secondary CAO entered above (Section 10.6.1.8). *Note: Due to a system limitation, if a secondary CAO Code (10.6.1.8) is deleted, the CAO Name will not be removed until the record has been refreshed.*

10.6.1.10 Date Due

Enter the date (MMDDYY format) on which the survey is due to be completed.

10.6.1.11 Date Returned

Enter the date (MMDDYY format) on which the survey was completed (returned). This date must be the same as or later than the Date Received (10.2.1.12). (Date Returned \geq Date Received)

10.6.1.12 Recommendation

Select the appropriate circle to indicate whether the recommendation is Complete Award, No Award or Partial Award. This data element is required when you enter a value in the Date Returned data box (10.6.1.11).